

Declaration for Patent Application

Docket Number: 1861.1270001/JMC/THN

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the Use Thereof, the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on March 22, 2001;
as United States Application Number or PCT International Application Number 09/814,123; and
was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

(Application No.)

(Country)

(Day/Month/Year Filed)

☐ Yes ☐ No

(Application No.)

(Country)

(Day/Month/Year Filed)

☐ Yes ☐ No

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application listed below.

60/191,757

(Application No.)

March 24, 2000

(Filing Date)

(Application No.)

(Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or under § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

Send Correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934

Direct Telephone Calls to:

(202) 371-2600

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor	Derk J. Hogenkamp	
Signature of sole or first inventor	<i>Derk J. Hogenkamp</i>	May 23, 2001 Date
Residence	4510 Park Drive, Carlsbad, CA 92008	
Citizenship	USA	
Mailing Address	same as above	
Full name of second inventor	Phong Nguyen	
Signature of second inventor		Date
Residence	1048 Wingfoot Street, Placentia, CA 92870	
Citizenship	USA	
Mailing Address	same as above	
Full name of third inventor	Ji Yang	
Signature of third inventor		Date
Residence	2010 Quail Ridge Drive, Plainsboro, NJ 08536	
Citizenship	People's Republic of China	
Mailing Address	same as above	

Declaration for Patent Application

Docket Number: 1861.1270001/JMC/THN

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Prior Foreign Application(s)

Priority Claimed

(Application No.)

(Country)

(Day/Month/Year Filed)

☐ Yes ☐ No

(Application No.)

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60/191,757

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March 24, 2000

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(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

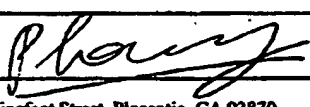
Send Correspondence to:

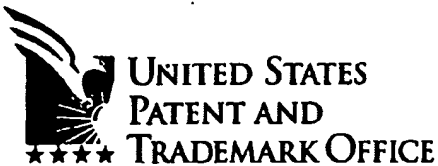
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934

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Full name of sole or first inventor	Derk J. Hogenkamp
Signature of sole or first inventor	Date
Residence	4510 Park Drive, Carlsbad, CA 92008
Citizenship	USA
Mailing Address	same as above
Full name of second inventor	Phong Nguyen
Signature of second inventor	 4/27/01 Date
Residence	1048 Wingfoot Street, Placentia, CA 92870
Citizenship	USA
Mailing Address	same as above
Full name of third inventor	Ji Yang
Signature of third inventor	Date
Residence	2010 Quail Ridge Drive, Plainsboro, NJ 08536
Citizenship	People's Republic of China
Mailing Address	same as above



UNITED STATES
PATENT AND
TRADEMARK OFFICE

OCTOBER 03, 2002

PTAS

STERNE, KESSLER, GOLDSTEIN & FOX PLLC
JOHN M. COVERT
1100 NEW YORK AVE., N.W.
SUITE 600
WASHINGTON, D.C. 20005-3934

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov



102179787A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY.,
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/31/2002

REEL/FRAME: 013142/0903
NUMBER OF PAGES: 4

BRIEF: CHANGE OF NAME (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
COCENSYS, INC.

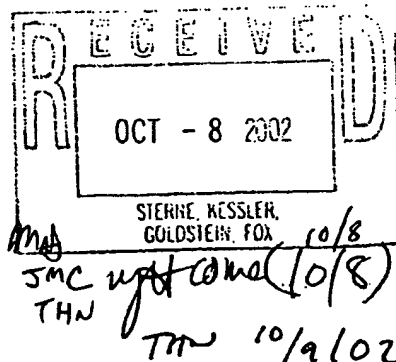
DOC DATE: 01/17/2001

ASSIGNEE:
PURDUE PHARMA LTD.
213 TECHNOLOGY DRIVE
IRVINE, CALIFORNIA 92618

SERIAL NUMBER: 09814123
PATENT NUMBER:

FILING DATE: 03/22/2001
ISSUE DATE:

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



Delaware

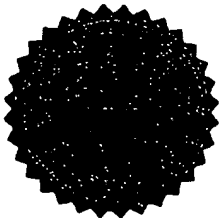
PAGE 1

The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "COCENSYS, INC.", CHANGING ITS NAME FROM "COCENSYS, INC." TO "PURDUE PHARMA LTD.", FILED IN THIS OFFICE ON THE SEVENTEENTH DAY OF JANUARY, A.D. 2001, AT 9 O'CLOCK A.M.

2318043 8100

010634841

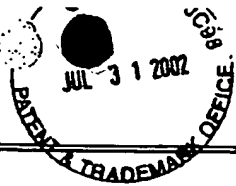


Harriet Smith Windsor

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 1532396

DATE: 12-29-01



08-06-2002



Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

RECORDATIO.

102179787

PATENTS ONLY

Department of Commerce
and Trademark Office

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

COCENSYS, INC.

7-31-02

2. Name and address of receiving party(ies):

Name: PURDUE PHARMA LTD.

Street Address: 213 Technology Drive

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

☐ Assignment

☐ Merger

☐ Security Agreement

☒ Change of Name

☐ Other

City: Irvine

State: CA

Zip Code: 92618

Country: United States of America

Additional name(s) & address(es) attached? ☐ yes ☒ no

Execution Date: January 17, 2001

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is _____

A. Patent Application No(s).

09/814,123

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

Internal Address: c/o John M. Covert

Street Address: 1100 New York Ave., N.W.
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. § 3.41).....\$ 40.00

☒ Enclosed

☐ Authorized to be charged to Deposit Account

8. Deposit Account Number:

19-0036

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

John M. Covert

Name of Person Signing

Registration No. 38,759

John M. Covert
Signature

July 31, 2002
Date

Total number of pages including cover sheet, attachments and document 4

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

SKGP_DC1:40237.1

05/2002 LABELER 00000125 09014123

PC:501

40.00.00

CERTIFICATE OF AMENDMENT
OF COCENSYS, INC.

Pursuant to Section 242 of
the General Corporation Law of
the State of Delaware

CoCensys, Inc., a corporation organized and existing under the General Corporation Law of the State of Delaware (the "Corporation"), does hereby certify as follows:

FIRST: Resolutions setting forth a proposed amendment to the Certificate of Incorporation of the Corporation, declaring said amendment to be advisable and directing that said amendment be considered by the stockholders of the Corporation entitled to vote thereon were duly adopted by the Unanimous Written Consent of the Board of Directors of the Corporation dated as of December 7, 2000.

SECOND: Thereafter, said amendment was approved in accordance with Section 228 of the General Corporation Law of the State of Delaware by written consent dated as of December 7, 2000 of the sole stockholder of the Corporation entitled to vote thereon.

THIRD: Said amendment would amend the Certificate of Incorporation of the Corporation by deleting Article FIRST and substituting in lieu thereof the following new Article FIRST:

"FIRST: The name of the Corporation is Purdue Pharma Ltd. (the 'Corporation')."

FOURTH: Said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law of the State of Delaware.

IN WITNESS WHEREOF, the Corporation has caused this certificate to be signed by its Vice President and attested by its Assistant Secretary as of this 15th day of January, 2001.

COCENSYS, INC.

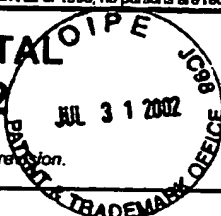
By Howard R. Udell
Howard R. Udell
Vice President

Attest:

By Stuart D. Baker
Stuart D. Baker
Assistant Secretary

FEE TRANSMITTAL
for FY 2002

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	09/814,123
Filing Date	March 22, 2001
First Named Inventor	Derk J. Hogenkamp
Examiner Name	Shameem, G.
Group Art Unit	1626
Attorney Docket No.	1861.1270001/JMC/THN

TOTAL AMOUNT OF PAYMENT (\$)**80.00****METHOD OF PAYMENT (check one)**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number

19-0036

Deposit Account Name

Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐
- Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐
- Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

- ☒
- Check
- ☐
- Credit card
- ☐
- Money Order
- ☒
- Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

FEE CALCULATION**I. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1) (\$)					0.00

II. EXTRA CLAIM FEES

	Extra	Fee from below	Fee Paid
Total Claims - 20** =	X		
Indep. Claims - 3** =	X		
Multiple Dependent			

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
108	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$) 0.00				

**or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	80.00
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
189	900	169	900	Request for expedited examination of a design application	
Other fee (specify):					
Other fee (specify):					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					80.00

SUBMITTED BY**Complete (if applicable)**

Name (Print/Type)	John M. Covert	Registration No. (Attorney/Agent)	38,759	Telephone	202-371-2600
Signature				Date	July 31, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SKGF Rev. 10/01/01 mnc

SKGF_DC1:40238.1



Robert Greene Sterne
Edward J. Kessler
Jorge A. Goldstein
David K.S. Cozswell
Robert W. Esmond
Tracy-Gene G. Durkin
Michael A. Cimbalis
Michael B. Ray
Robert E. Solzhi
Eric K. Steffe
Michael Q. Lee
Steven R. Ludwig
John M. Covert
Linda E. Altom
Robert C. Millonig
Lawrence B. Ruggalsky
Donald J. Featherstone
Michael V. Messinger

Judith U. Kim
Timothy J. Shea, Jr.
Patrick E. Garrett
Jeffrey T. Healey
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Crystal D. Sayles
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Elizabeth L. Haines
Bruce E. Chalker
Joseph S. Ostroff
Frank R. Cottingham
Christine M. Uhler
Rae Lynn Prengaman
Jane Shershenovich
Lawrence J. Carroll
George S. Bardmesser

Registered Patent Agents*
Karen R. Markowitz
Andrea J. Kamage
Nancy J. Leith
Joseph M. Conrad III
Ann E. Summerfield
Helene C. Carlson
Gabby L. Longworth
Matthew J. Dowd
Aaron L. Schwartz
Angelique G. Uy
Boris A. Mazventz
Mary B. Tung
Katrina Y. Pei
Bryan L. Shelton
Jason D. Eisenberg
John I. Figueroa

Senior Counsel
Samuel L. Fox
Kenneth C. Bass II
Lisa A. Dunner

*Admitted only in Maryland
*Admitted only in Virginia
*Admitted only in Texas
*Practice Limited to
Federal Agencies



July 31, 2002

WRITER'S DIRECT NUMBER:
(202) 371-2673
INTERNET ADDRESS:
JCOVERT@SKGF.COM

The Honorable Director
of Patents and Trademarks
Washington, D.C. 20231

Box Assignment

Re: U.S. Utility Patent Application
Appl. No. 09/814,123; Filed: March 22, 2001
For: **Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the Use
Thereof**
Inventors: Hogenkamp *et al.*
Our Ref: 1861.1270001/JMC/THN

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Two (2) Recordation Form Cover Sheets (Form PTO-1595);
2. Certificate of Amendment of COCENSYS, INC., official recordation and return of which are respectfully requested;
3. Assignment to EURO-CELTIQUE S.A., official recordation and return of which are respectfully requested;
4. Fee Transmittal Form (PTO/SB/17);
5. One (1) return postcard; and
6. Our Check No. 36021 for \$80.00 to cover recordation fees (37 C.F.R. § 1.21).

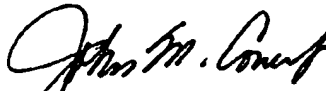
The Honorable Director
of Patents and Trademarks
July 31, 2002
Page 2

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



John M. Covert
Attorney for Applicants
Registration No. 38,759

Enclosures

SKGF_DC1.40235.1



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SEPTEMBER 04, 2001

PTAS
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C
C/O JOHN M. COVERT
1100 NEW YORK AVE., N.W. SUITE 600
WASHINGTON D.C. 20005-3934



101762197A

SEP -6 2001

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SMC

THN

9/6

THN 9/7/01

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RECORDATION DATE: 06/21/2001

REEL/FRAME: 011920/0060
NUMBER OF PAGES: 7

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HOKENKAMP, DERK J.

DOC DATE: 05/23/2001

ASSIGNOR:

NGUYEN, PHONG

DOC DATE: 04/27/2001

ASSIGNOR:

YANG, JI

DOC DATE: 04/30/2001

ASSIGNEE:

COCENSYS, INC.
213 TECHNOLOGY DRIVE
IRVINE, CALIFORNIA 92618

SERIAL NUMBER: 09814123
PATENT NUMBER:

FILING DATE: 03/22/2001
ISSUE DATE:

011920/0060 PAGE 2

JACQUELINE MOORE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

06-27-2001



101762197

U.S. Department of Commerce
Patent and Trademark Office

Form PTO-1595

(Rev. 03/01)

BIB No. 0651-0027 (exp. 3/31/2002)

to the Honorable Commissioner of Patents and 1

use attached original documents or copy thereof.

1. Name of conveying party(ies):

Derk J. Hogenkamp
Phong Nguyen
Ji YangAdditional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other
Execution Date: May 23, 2001; April 27, 2001; and
April 30, 2001, respectively

2. Name and address of receiving party(ies):

Name: CoCensys, Inc.

Street Address: 213 Technology Drive

City: Irvine State: CA Zip Code: 92618

Country: United States of America

Additional name(s) & address(es) attached? ☐ yes ☒ no

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is _____

A. Patent Application No(s).

09/814,123

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

Internal Address: c/o John M. Covert

Street Address: 1100 New York Ave., N.W.
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved: 17. Total fee (37 C.F.R. § 3.41).....\$ 40.00☒ Enclosed☐ Authorized to be charged to Deposit Account

8. Deposit Account Number:

19-0036

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

John M. Covert

Name of Person Signing
Registration No. 38,759

Signature

Date

June 21, 2001

Total number of pages including cover sheet, attachments and document 7Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

P:\USERS\TARJAN\1861\1861.127000\127-T.ASSIGN.RECORD.CVR.WPDSKOP Rev. 3/16/01.mxd

26/2001 STON11 00000106 09814123

FD-591

40.00 00

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventors: (1) Derk J. HOGENKAMP, (2) Phong NGUYEN, and (3) Ji YANG, the undersigned inventors hereby sell and assign to CoCensys, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

(a) in the invention known as Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the Use Thereof for which application for patent in the United States of America has been executed by the undersigned on (1) May 13, 2001 (2) (3) (also known as United States Application No. 09/814,123, filed March 22, 2001), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

June
Reg. No.
38,759
6/21/01

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventors agree to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

The undersigned inventors agree to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

The undersigned inventors hereby represent that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventors hereby grant Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire,

Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588 all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934; and Philip C. Strassburger, Esq., Registration No. 34,258 of Purdue Pharma L.P., One Stamford Forum, Stamford, CT 06901; power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventors on the date opposite his/her name.

Date: May 23, 2001 Signature of Inventor: Derk J. Hogenkamp
Derk J. HOGENKAMP

Date: _____ Signature of Inventor: _____
Phong NGUYEN

Date: _____ Signature of Inventor: _____
Ji YANG

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventors: (1) Derk J. HOGENKAMP, (2) Phong NGUYEN, and (3) Ji YANG, the undersigned inventors hereby sell and assign to CoCensys, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

(a) in the invention known as Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the Use Thereof for which application for patent in the United States of America has been executed by the undersigned on (1) (2) April 27, 2001 (3) _____ (also known as United States Application No. 09/814,123, filed March 22, 2001), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

June 6/21/01
Reg No.
38,759

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

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Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588 all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934; and Philip C. Strassburger, Esq., Registration No. 34,258 of Purdue Pharma L.P., One Stamford Forum, Stamford, CT 06901; power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventors on the date opposite his/her name.

Date: _____ Signature of Inventor: _____
Derk J. HOGENKAMP

Date: 4/27/01 Signature of Inventor: Phuong
Phong NGUYEN

Date: _____ Signature of Inventor: _____
Ji YANG

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventors: (1) Derk J. HOGENKAMP, (2) Phong NGUYEN, and (3) Ji YANG, the undersigned inventors hereby sell and assign to CoCensys, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world;

(a) in the invention known as Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the Use Thereof for which application for patent in the United States of America has been executed by the undersigned on (1) _____ (2) _____ (3) April 30, 2001 (also known as United States Application No. 09/814,123, filed March 22, 2001), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

June 6/21/01
Reg. No.
38,759

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

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IN WITNESS WHEREOF, executed by the undersigned inventors on the date opposite his/her name.

Date: _____ Signature of Inventor: _____
Derk J. HOGENKAMP

Date: _____ Signature of Inventor: _____
Phong NGUYEN

Date: 4/30/2001 Signature of Inventor: 
Ji YANG



STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W. • WASHINGTON, D.C. 20005-3934

PHONE: (202) 371-2600 • FACSIMILE: (202) 371-2640 • www.skgt.com

ROBERT GREENE STERNE
EDWARD J. KESSLER
JORGE A. GOLDSTEIN
SAMUEL L. FOX***
DAVID K.S. CORNWELL
ROBERT W. ESMOND
TRACY-GENE G. DURKIN
MICHAEL A. CIMBALA
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BRUCE E. CHALKER**
DUSTIN T. JOHNSON**
MATTHEW J. DOWD**

*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

June 21, 2001

WRITER'S DIRECT NUMBER:
(202) 371-2673
INTERNET ADDRESS:
ICOVERT@SKGF.COM

The Honorable Director
of Patents and Trademarks
Washington, D.C. 20231

Box Assignment

Re: U.S. Patent Application
Appl. No. 09/814,123; Filed: March 22, 2001
For: Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the
Use Thereof
Inventors: Hogenkamp *et al.*
Our Ref: 1861.1270001/JMC/THN

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Recordation Form Cover Sheet (Form PTO-1595);
2. Assignment to CoCensys, Inc. (six total sheets), official recordation and return of which are respectfully requested;
3. Fee Transmittal Form (PTO/SB/17);
4. Our Check No. 31685 for \$40.00 to cover recordation fee (37 C.F.R. § 1.21); and
5. One (1) return postcard.

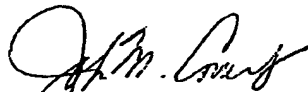
The Honorable Director
of Patents and Trademarks
June 21, 2001
Page 2

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036.

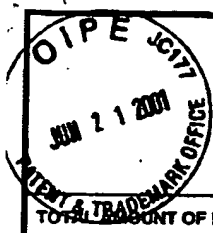
Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



John M. Covert
Attorney for Applicants
Registration No. 38,759

Enclosures



FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 40.00

Complete if Known

Application Number	09/814,123
Filing Date	March 22, 2001
First Named Inventor	Derk J. Hogenkamp
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	1861.1270001/JMC/THN

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: 19-0036
 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☒ Other
 *Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)					0.00

2. EXTRA CLAIM FEES

		Extra		below	Fee Paid
Total Claims	25	- 25** =	0	X	=
Indep. Claims	5	- 5** =	0	X	=
Multiple Dependent					=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)				0.00

** or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
116	110	215	55	Extension for reply within first month	
118	380	216	185	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	685	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to Institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
128	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.128(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify):					
Other fee (specify):					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					40.00

SUBMITTED BY

Name (Print/Type)	John M. Covert	Registration No. (Attorney/Agent)	38,759	Telephone	202-371-2600
Signature				Date	June 21, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SKGF Rev. 11/13/00 mmsc

127-1.ASSIGN.RECORD.FEE.WPD